



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Milan Kokta, et al.

Title: SPINEL ARTICLES AND METHODS FOR FORMING SAME

Application No.: 10/669,141 Filed: September 23, 2003

Examiner: Stephen J. Stein Group Art Unit: 1775

Atty. Docket No.: 1035-BI4282

MS AF
COMMISSIONER FOR PATENTS
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the undersigned brings the patents, publications, applications or other information identified in the attached:

Form(s) PTO/SB/08A and/or PTO/SB/08B or PTO/1449
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to the Examiner's attention in the above-identified application. Citation of such information shall not be construed as:

1. an admission that the information necessarily is, or corresponds to, prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described below; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

For each item of information listed that is not in the English language, the undersigned has provided a concise explanation of the relevance, such as through (i) an English language abstract, (ii) an English language equivalent application, (iii) reference to discussion in the application, or (iv) if cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action that indicates the degree of relevance found by the foreign office.

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Elise K. Dougherty
Typed or Printed Name

E.K. Dougherty
Signature

STATEMENT UNDER 37 C.F.R. § 1.704(d)

If the above-identified application is an original application filed on or after May 29, 2000:

each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

FEES DUE

This Information Disclosure Statement is being filed:

within three months of the filing date of a national application or within three months of entry of the national stage as set forth in § 1.491 in an international application. Therefore, no fee is required.

before the mailing date of a first Office action on the merits or before the mailing date of a first Office action after the filing of a request for continued examination under § 1.114. Therefore, no fee is believed required.

during the period specified in § 1.97(c). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement.

during the period specified in § 1.97(c). Accordingly, the fee set forth in § 1.17(p) is required and provided as shown on the attached Fee Transmittal.

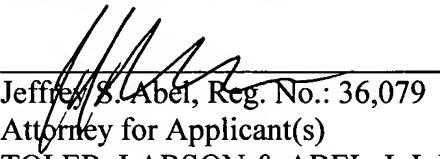
during the period specified in § 1.97(d). Accordingly, the fee set forth in § 1.17(p) is required and provided as shown on the attached Fee Transmittal. Additionally, each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement.

Should any PTO fees be necessary for entry of this Information Disclosure Statement, the undersigned hereby authorizes the Commissioner to charge Deposit Account 50-2469.

Date

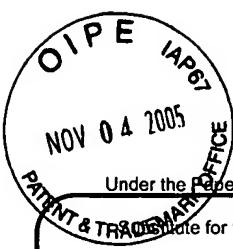
11/2/05

Respectfully submitted,


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LIST OF RELATED APPLICATIONS

<u>Application No.</u>	<u>Filing Date</u>	<u>Applicant(s)</u>	<u>Docket No.</u>
11/065,397	02/24/05	Tanikella, et al.	1075-BI4345



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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 13

Complete if Known

Application Number	10/669,141
Filing Date	09/23/2003
First Named Inventor	Milan R. Kokta
Art Unit	1775
Examiner Name	Stephen J. Stein
Attorney Docket Number	1075-BI4282

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (<i>if known</i>)			
A1	US- 3,753,775		08/21/1973	Robinson et al.	
B1	US- 3,964,942		06/22/1976	Berkenblit et al.	
C1	US- 4,649,070		03/10/1987	Kondo et al.	
D1	US- 4,657,754		04/14/1987	Bauer et al.	
E1	US- 5,643,044		07/01/1997	Lund	
F1	US- 5,742,026		04/21/1998	Dickinson, Jr. et al.	
G1	US- 5,989,301		11/23/1999	Laconto, Sr. et al.	
H1	US- 6,048,577		04/11/2000	Garg	
I1	US- 6,238,450 B1		05/29/2001	Garg et al.	
J1	US- 6,258,137 B1		07/10/2001	Garg et al.	
K1	US- 6,265,089 B1		07/24/2001	Fatemi et al.	
L1	US- 6,364,920 B1		04/02/2002	Garg et al.	
M1	US- 6,391,072 B1		05/21/2002	Garg	
N1	US- 6,406,769 B1		06/18/2002	Delabre	
O1	US- 6,418,921 B1		07/16/2002	Schmid et al.	
P1	US- 2001/0026950 A1		10/04/2001	Sunakawa et al.	
Q1	US- 2002/0028314 A1		03/07/2002	Tischler et al.	
R1	US- 2002/0030194 A1		03/14/2002	Camras et al.	
S1	US- 2003/0190770 A1		10/09/2003	Yeom et al.	

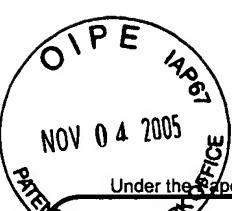
FOREIGN PATENT DOCUMENTS					
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		Country Code ³ -Number ⁴ -Kind Code ⁵ (<i>if known</i>)			
T1	CN 1291795		04/18/2001	Guanglei Sci & Tech Co. Ltd.	English Abstract Only
U1	CN 1379484		11/13/2002	Univ Qinghua	English Abstract Only
V1	CN 1469459		01/21/2004	Fudi Elect. Mat. Co. Ltd.	English Abstract Only
W1	CN 1476046		02/18/2004	Shanghai Prec. Opt. Instr	English Abstract Only
X1	CN 1476047		02/18/2004	Shanghai Prec. Opt. Instr	English Abstract Only
Y1	EP 997445		05/03/2000	Corning Inc.	English Abstract Only

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Attorney Docket Number	1075-BI4282

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		Number-Kind Code ² (<i>if known</i>)			
A2	US- 2003/0213950 A1		11/20/2003	Hwang	
B2	US- 2004/0063236 A1		04/01/2004	Kwak et al.	
C2	US- 2004/0089220 A1		05/13/2004	Kokta et al.	
D2	US- 3,808,065		04/30/1974	Robinson et al.	
E2	US- 3,898,051		08/05/1975	Schmid	
F2	US- 4,347,210		08/31/1982	Maguire, et al.	
G2	US- 5,968,267		10/19/1999	Li	
H2	US- RE38,489 E		04/26/2004	Thony et al.	
I2	US- 6,846,434 B1		01/25/2005	Akselrod	
J2	US-				
K2	US-				
L2	US-				
M2	US-				
N2	US-				
O2	US-				
P2	US-				
Q2	US-				
R2	US-				
S2	US-				

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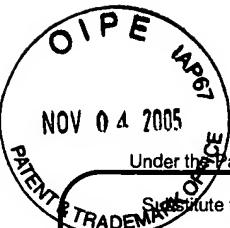
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		Country Code ³ -Number ⁴ -Kind Code ⁵ (<i>if known</i>)				
T2	EP 1298709		04/02/2003	NGK Insulators Ltd.	English Abstract Only	
U2	EP 1394867		03/03/2004	Samsung Elect. Co. Ltd.	English Abstract Only	
V2	JP 53-043481		04/19/1978	Matsushita Elec Ind. Co. Ltd.	English Abstract Only	
W2	JP 79-026873		09/06/1979	Nippon Elect. Co.	English Abstract Only	
X2	JP 58-090736		05/30/1983	Tokyo Shibaura Elect. Co	English Abstract Only	
Y2	JP 61-142759		06/30/1986	NGK Spark Plug Co. Ltd.	English Abstract Only	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 3 of 13

Complete if Known

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Filing Date	09/23/2003
First Named Inventor	Milan R. Kokta
Art Unit	1775
Examiner Name	Stephen J. Stein

Attorney Docket Number 1075-BI4282

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Q3	US-				
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		Country Code ³ -Number ⁴ -Kind Code ⁵ (<i>if known</i>)				
T3	JP 62-123059		06/04/1987	Narumi Seito KK	English Abstract Only	
U3	JP 7-235692		09/05/1995	Sony Corp.	English Abstract Only	
V3	JP 8-040797		02/13/1996	Kyocera Corp.	English Abstract Only	
W3	JP 8-083802		03/26/1996	Shingijutsu Kigyodan	English Abstract Only	
X3	JP 8-095233		04/12/1996	Tono Seiki YG	English Abstract Only	
Y3	JP 9-129651		05/16/1997	Hewlett-Packard Co.	English Abstract Only	

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Sheet 4 of 13

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A4	US-				
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C4	US-				
D4	US-				
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G4	US-				
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O4	US-				
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R4	US-				
S4	US-				

FOREIGN PATENT DOCUMENTS

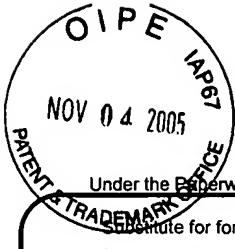
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T4	JP 9-129928		05/16/1997	Toshiba KK	English Abstract Only	
U4	JP 11-195813		07/21/1999	Toshiba Densi Eng. KK	English Abstract Only	
V4	JP 11-235659		08/31/1999	Ricoh KK	English Abstract Only	
W4	JP 11-274559		10/08/1999	Sanyo Elect. Co. Ltd.	English Abstract Only	
X4	JP 2000-228367		08/15/2000	Samsung Elect. Co. Ltd.	English Abstract Only	
Y4	JP 2000-331940		11/30/2000	Sony Corp.	English Abstract Only	

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Sheet 5

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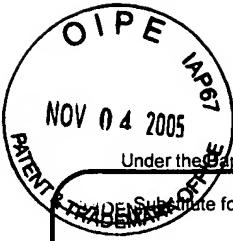
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T5	JP 2001-010898		01/16/2001	NEC Corp.	English Abstract Only	
U5	JP 2001-198808		07/24/2001	Morioka Seiko Kogyo KK	English Abstract Only	
V5	JP 2001-220295		08/14/2001	Namiki Seimitsu Hoseki KK	English Abstract Only	
W5	JP 2001-253800		09/18/2001	Namiki Seimitsu Hoseki KK	English Abstract Only	
X5	JP 2002-012856		01/15/2002	Neos KK	English Abstract Only	
Y5	JP 2002-050577		02/15/2002	Namiki Seimitsu Hoseki KK	English Abstract Only	

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Q6	US-				
R6	US-				
S6	US-				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (<i>if known</i>)				
T6	JP 2002-158377		05/31/2002	Matsushita Denki Sangyo KK	English Abstract Only	
U6	JP 2002-255694		09/11/2002	Kyocera Corp.	English Abstract Only	
V6	JP 2002-353425		12/06/2002	Kyocera Corp.	English Abstract Only	
W6	JP 2003-045829		02/14/2003	Hitachi Chem Co. Ltd.	English Abstract Only	
X6	JP 2003-113000		04/18/2003	Hitachi Cable Ltd.	English Abstract Only	
Y6	JP 2003-124151		04/25/2003	Disco KK	English Abstract Only	

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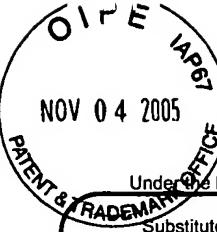
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 7

of 13

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Application Number	10/669,141
Filing Date	09/23/2003
First Named Inventor	Milan R. Kokta
Art Unit	1775
Examiner Name	Stephen J. Stein

Attorney Docket Number 1075-BI4282

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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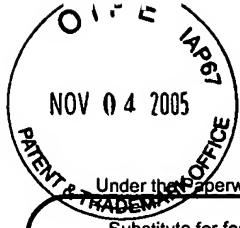
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T7	JP 2003-165042		06/10/2003	Okamoto Kosaku Kikai Seisakusho KK	English Abstract Only	
U7	JP 2003-273022		09/26/2003	Namiki Seimitsu Hoseki KK	English Abstract Only	
V7	JP 2003-320521		11/11/2003	Tokyo Tungsten KK	English Abstract Only	
W7	JP 2003-334754		11/25/2003	Nippon Microcoating KK	English Abstract Only	
X7	JP 2003-338638		11/28/2003	Nichia Kagaku Kogyo KK	English Abstract Only	
Y7	JP 2004-006867		01/08/2004	Matsushita Denki Sagyo KK	English Abstract Only	

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		Application Number	10/669,141
		Filing Date	09/23/2003
		First Named Inventor	Milan R. Kokta
		Art Unit	1775
		Examiner Name	Stephen J. Stein
		Attorney Docket Number	1075-B14282

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S8	US-				

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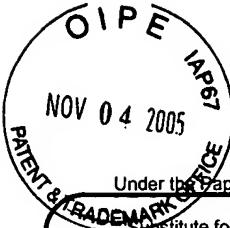
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T8	JP 2004-014691		01/15/2004	Mitsubishi Gas Chem Co Inc.	English Abstract Only	
U8	JP 2004-140394		05/13/2004	Nissan Chem Ind. Ltd.	English Abstract Only	
V8	KR 2002-043128		06/08/2002	Ulsan College	English Abstract Only	
W8	SU 1781271		12/15/1992	Krasny Poly (Kypo)	English Abstract Only	
X8	TW 550836		09/01/2003	Ind. Tech. Res. Inst.	English Abstract Only	
Y8	WO 2000/68332		11/16/2000	MPM Ltd.	English Abstract Only	

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First Named Inventor	Milan R. Kokta
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Examiner Name	Stephen J. Stein

Attorney Docket Number 1075-B14282

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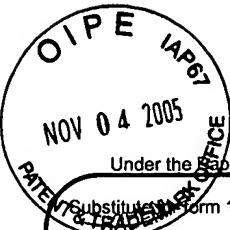
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T9	WO 2002/92674		11/21/2002	US Sec of Navy	English Abstract Only	
U9	WO 2004/33769		04/22/2004	Unisearch Ltd.	English Abstract Only	
V9					English Abstract Only	
W9					English Abstract Only	
X9					English Abstract Only	
Y9					English Abstract Only	

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Filing Date	09/23/2003
First Named Inventor	Milan R. Kokta
Art Unit	1775
Examiner Name	Stephen J. Stein

Attorney Docket Number

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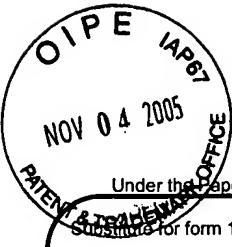
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	A10	Aeschlimann, R. et al., "The Chemical Polishing of Magnesium Aluminate Spinel in Pyrophosphoric Acid", MAT. RES. BULL., Vol. 5, pgs 167-172, 1970.	
	B10	Dwikusuma, F., "Study on Sapphire Surface Preparation for III-Nitride Heteroepitaxial Growth by Chemical Treatments", JOURNAL FOR ELECTROCHEMICAL SOC., Nov. 2002, 30 pgs.	
	C10	Kim, S. et al., "Stress Relaxation in Thick-Film GaN Grown by Hydride Vapor Phase Epitaxy on Sapphire and Spinel Substrates as Studied by Photoluminescence and Raman Spectroscopy", J. OF THE KR PHYS SOC., Vol. 34, No. 2, Feb. 1999, pgs 163-167.	
	D10	Kurobe, Toshiji, et al., "Magnetic Field-Assisted Lapping", BULL. JAPAN SOC. OF PREC. ENGG., Vol. 20, No. 1, March 1986, pgs 49-51.	
	E10	Libowitzky, E., "Optical Anisotropy in the Spinel Group: a Polishing Effect", EUR. J. MINERAL., Vol. 6, 1994, pgs. 187-194.	
	F10	Reisman, A., et al., "The Chemical Polishing of Sapphire and MgAl Spinel", J. ELECTROCHEM. SOC.: SOLID STATE SCIENCE, Vol. 118, No. 10, October 1971, pgs 1653-1657.	
	G10	Richter, F., et al., "Herstellung und Aurichtung Von MgAl-Spinell-Substraten fur die Halbleiterepitaxie", KRISTALL UND TECHNIK, Vol. 10, No. 3, 1975, pgs 33-348.	
	H10	Robinson, P., et al., "The Chemical Polishing of Sapphire and Spinel", RCA REVIEW, Vol. 34, December 1973, pgs 616-629.	
	I10	Roy, D., et al., "Spinel, Where did it go?", SPIE Vol. 3134, pgs 307-316.	
	J10	Wang, C., et al., "Growth and Characterization of Spinel Single Crystal for Substrate Use in Integrated Electronics", J. APPLIED PHYSICS, Vol. 40, No. 9, August 1969, pgs 3433-3444.	

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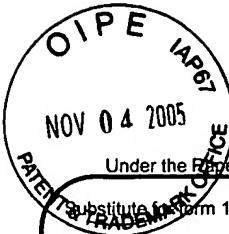
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A11	Yanina, S., et al., "Moving Steps and Crystal Defects on Spinel Surfaces", MAT. RES. SOC. SYMP., Vol. 620, 2000, pgs M9.4.1-M9.4.6.	
	B11	Byun, D., et al., "Reactive ion (N2+) Beam Pretreatment of Sapphire for GaN Growth", THIN SOLID FILMS, Vol. 326, 1998, pgs 151-153.	
	C11	Byun, D., et al., "New Pretreatment Method of Sapphire for GaN Deposition", PHYS. STAT. SOL., Vol. 176, 1999, pgs 643-648.	
	D11	Sung, Y., et al., "High Rate Etching of Sapphire Wafer Using Cl2BCl3Ar Inductively Coupled Plasmas", MAT. SCI. & ENG.: SOLD STATE MAT, Vol. B82, No. 1-3 2000, pgs 50-52. (ABSTRACT ONLY)	
	E11	Wang, X., et al., "Chemical Polishing of Sapphire for Growth of GaN", CHINESE JOURNAL OF SEMICONDUCTORS, Vol. 18, No. 11, pgs 867-871, 1997. (ABSTRACT ONLY)	
	F11	Lee, J., et al., "Scribing and Cutting a Blue LED Wafer Using a Q-Switched Nd:YAG Laser", APPLIED PHYSICS, Vol. 70, No. 5, pgs 561-564, 2000. (ABSTRACT ONLY)	
	G11	Kalinski, Z., "Preparation of Sapphire Substrates for Gas Phase GaN Epitaxial Processes", KRISTAL UND TECHNIK, Vol. 12, No. 10, pgs 1105-1110, 1977. (ABSTRACT ONLY)	
	H11	Jeong, C., et al., "Sapphire Etching with BC13/HBr/Ar Plasma", SURFACE & COATINGS TECHNOLOGY, Vol. 171, No. 1-3, 2003, pgs 280-284. (ABSTRACT ONLY)	
	I11	Kalinski, Z., et al., "Structural Etching of Al2O3 Substrate Plates Applied in Gaseous Epitaxy of GaN Layers", ELEKTRONIKA, Vol. 18, No. 3, 1977, pgs 117-119. (ABSTRACT ONLY)	
	J11	Lakew, B., et al., "High Tc Superconducting Bolometer on Chemically Etched 7 Micrometer Thick Sapphire", NASA, 1997, 21 pgs. (ABSTRACT ONLY)	

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Art Unit	1775
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Attorney Docket Number

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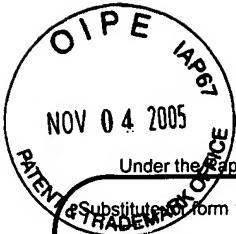
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	A12	Jeong, C., et al., "Dry Etching of Sapphiure Substrate for Device Separation in Chlorine-Based Inductively Coupled Plasmas", MAT. SCI. & ENG.: SOLID STATE MATERIALS, Vol. 93, No. 1-3, pgs 60-63, 2002. (ABSTRACT ONLY)	
	B12	Gu, E., et al., "Micromachining and Dicing of Sapphire, Gallium Nitride and Micro LED Devices with UV Copper Vapour Laser", THIN SOLID FILMS, Vol. 453-454, pgs 462-466, 2000. (ABSTRACT ONLY)	
	C12	Park, H., et al., "A Novel Process for the Generation of Pristine Saphire Surfaces", THIN SOLID FILMS, Vol. 422, No. 1-2, pgs 135-140, 2000. (ABSTRACT ONLY)	
	D12	Fenner, D., et al., "Ion Beam Nanosmoothing of Sapphire and Silicon Carbide Surfaces", SPIE, Vol. 4468, pgs 17-24, 2001. (ABSTRACT ONLY)	
	E12	Blecha, Z., et al., "On Fabrication of Sapphire Substrates (1102) for Epitaxy of Monocrystalline Silicon", JEMNA MECHANika A OPTIKA, Vol., 28, No. 12, pgs 249-351, 1983. (ABSTRACT ONLY)	
	F12	Duffy, M., et al., "Optical Characterization of Silicon and Sapphire Surfaces as related to SOS Discrete Device Performance", JOURNAL OF CRYSTAL GROWTH, Vol. 58, No. 1, pgs 19-36, 1982. (ABSTRACT ONLY)	
	G12	Ehman, M., et al., "Mechanical Preparation of Sapphire Single-Crystal Surfaces by Vibratory Techniques", METALLOGRAPHY, Vol. 9, No. 4, pgs 333-339, 1976. (ABSTRACT ONLY)	
	H12	Druminiski, M., et al., "Deposition of Epitaxial Films on Spinel and Sapphire. Influence of Substrate Preparation", SIEMENS FORSCHUNGS - UND ENTWICKLUNGSBERICHTE, Vol. 5, No. 3, pgs 139-145, 1976. (ABSTRACT ONLY)	
	I12	Cullen, G., "The Preparation and Properties of Chemically Vapor Deposited Silicon on Sapphire and Spinel", JOURNAL OF CRYSTAL GROWTH, Vol. 9, pgs 107-125, 1971. (ABSTRACT ONLY)	
	J12	Liu, L., et al., "Substrates for Gallium Nitride Epitaxy", MAT. SCI. & ENG. REPORTS, Vol. R37, No. 3, pgs 61-127, 2000. (ABSTRACT ONLY)	

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Complete if Known

Application Number	10/669,141
Filing Date	09/23/2003
First Named Inventor	Milan R. Kokta
Art Unit	1775
Examiner Name	Stephen J. Stein

Attorney Docket Number

1075-BI4282

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A13	Khattak, C., et al., "Production of Sapphire Blanks and Substrates for Blue LEDs and LDs", MAT. RES. SOC. SYMP. - PROCEEDINGS, V. 743, pgs 219-224, 2002. (ABSTRACT ONLY)	
	B13	Gutsche, H., et al., "Polishing of Sapphire with Colloidal Silica", JOURNAL OF THE ELECTROCHEMICAL SOCIETY, Vol. 125, No. 1, 1978, pgs 136-138, 1978. (ABSTRACT ONLY)	
	C13	Duffy, M., et al., "Semiconductor Measurement Technology: Method to Determine the Quality of Sapphire, (NOTE) Final Report", RCA Labs, 1980, 77 pgs. (ABSTRACT ONLY)	
	D13	Duffy, M., et al., "Method to Determine Qulity of Sapphire, (NOTE) Interim Rept.", RCA Labs, 1975, 88 pgs. (ABSTRACT ONLY)	
	E13	Horie, S., et al., "Precision Grinding of Semiconductor - Related Materials", (JOURNAL) NEW DIAMOND, Vol. 20, No. 2, pgs 8-13, 2004. (ABSTRACT ONLY)	
	F13	Edgar, J., et al., "Substrates for Gallium Nitride Epitaxy", MAT. SCI. & ENG., PART R, Vol. R37, No. 3, pgs 61-127, 2002. (ABSTRACT ONLY)	
	G13	Author Unkown, "Specifications for Polished Monocrystalline Sapphire Substrates" 1996, Affiliation (Issuing Organization) SEMI Semiconductor Equipment & Materials International, USA. (Bibliographic Entry Only).	
	H13	Search Report for Technical Articles (Including various Abstracts of certain Identified References)	
	I13		
	J13		

Examiner Signature	Date Considered
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